

01/04/01

A

NEW UNITED STATES UTILITY PATENT APPLICATION TRANSMITTAL

Atty. Docket No.: 5538/1020

CERTIFICATE OF MAILING UNDER 37 CFR 1.10

I hereby certify that the paper (and any paper or fee referred to as being enclosed) is being deposited with the United States Postal Service using Express Mail to Addressee Service, under 37 C.F.R. Section 1.10, **Express Mail Label No. EL592000705US** On this date, **January 3, 2001**, postage prepaid, in an envelope addressed to Box: Patent Application, Commissioner for Patents, Washington, D.C. 20231.

Kathleen Madden Williams

Name of Person Mailing Paper



Signature of Person Mailing Paper

Commissioner for Patents
Box Patent Application
Washington, D.C. 20231

Enclosed herewith is a new patent application of:

First Named Inventor (or application identifier): Moss, et al.

Title of Invention: **AUTOMATED TRADING SYSTEM**

- Type: ☐ New
☒ Continuation Under 35 USC 111
☐ Continuation-in-Part
☐ Divisional

and includes the following papers:

1. ☒ Specification 24 pages (including specification, claims, abstract)/ 20 claims (4 independent)
2. ☒ Declaration/Power of Attorney is:
☒ attached ☐ executed ☒ unexecuted
☐ NOT included, but deferred under 37 C.F.R. § 1.53(f).
3. ☒ 7 Distinct sheets of ☐ Formal ☒ Informal Drawings
4. ☐ Preliminary Amendment.
5. ☐ Information Disclosure Statement
☐ Form 1449
☐ A copy of each cited prior art reference
6. ☐ Assignment with Recordation Cover Sheet.
7. ☒ Priority is hereby claimed under 35 U.S.C. § 119(e) based upon the following application(s):

Country	Application Number	Date of Filing (day, month, year)
GB	9910588.4	8 May 1999

8. ☒ Priority is hereby claimed under 35 U.S.C. § 120 based upon the following application(s):

Status	Application Number	Date of Filing (day, month, year)
Pending	PCT/GB00/01507	18 April 2000

9. ☐ Priority document(s).
10. ☒ Statement of Small Entity Status, Pursuant to 37 C.F.R. § 1.27.

JC962 U.S. PTO

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11. ☐ Microfiche Computer Program (Appendix).
12. ☐ Nucleotide and/or Amino Acid Sequence Submission.
☐ Computer Readable Copy.
☐ Paper Copy (identical to computer copy).
☐ Statement verifying identity of above copies.
13. Calculation of Fees:

FEES FOR	TOTAL CLAIMS	EXCESS CLAIMS	FEE	AMOUNT DUE
Basic Filing Fee (37 C.F.R. § 1.16(a))				\$710.00
Total Claims in Excess of 20 (37 C.F.R. § 1.16(c))	20	0	\$18.00	
Independent Claims in Excess of 3 (37 C.F.R. § 1.16(b))	4	1	\$80.00	80.00
Multiple Dependent Claims (37 C.F.R. § 1.16(d))	Y		\$270.00	270.00
Subtotal - Filing Fee Due				1,060.00
Reduction by 50%, if Small Entity (37 C.F.R. §§ 1.9, 1.27, 1.28)	MULTIPLY BY 0.50			530.00
TOTAL FILING FEE DUE				
Assignment Recordation Fee (if applicable) (37 C.F.R. § 1.21(h))	0		\$40.00	
GRAND TOTAL DUE				\$530.00

14. PAYMENT is:

X not included, but deferred under 37 C.F.R. § 1.53(f).

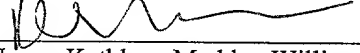
15. All correspondence for the attached application should be directed to:

Kathleen Madden Williams
PALMER & DODGE, LLP
One Beacon Street
Boston, MA 02108
Customer Number 27495

16. Other: _____

Respectfully submitted,

Date: January 3, 2001

By: 
Name: Kathleen Madden Williams
Registration No.: 34,380

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application of: Moss et al.
Serial No.: Not Assigned Yet
Filed: Concurrent Herewith
Entitled: AUTOMATED TRADING
SYSTEM

Examiner Not Assigned Yet
Group Art Unit: Not Assigned Yet

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Kathleen Madden Williams

Name of Person Mailing Paper



Signature of Person Mailing Paper

Box: Patent Application
Commissioner for Patents
Washington, D.C. 20231

TRANSMITTAL LETTER

Enclosed for filing in the above-identified patent application, please find the following documents:

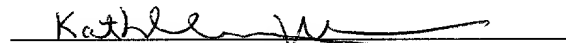
1. New Patent Application Transmittal;
2. Patent Application Specification, (24 pages);
3. (7) sheets of informal drawings;
4. Unexecuted Declaration and Power of Attorney;
5. Preliminary Amendment; and
6. Return Post Card.

Pursuant to 37 C.F.R. § 1.27, Applicant claims small entity status.

Deferred payment under 37 C.F.R. § 1.53(f).

Respectfully submitted,

Date: 1/3/01


Name: Kathleen M. Williams
Registration No.: 34,380
Customer Number 27495